



National Oceanic and Atmospheric Administration

Office of Budget Customer Service Guide



Table of Contents

	Page Number
To the Reader	2
NOAA Office of Budget Organizational Chart w/contact Numbers	3
NOAA Office of Budget	
Vision Statement	4
Mission Statement	5
Office of Budget Priorities	6
Function Statement	7
Major Functions by Division	8
Budget Formulation and Analysis Division	9
Budget Formulation Process	10
Budget Policy, Products and Integration Division	12
Budget Execution and Operations Division	13
Budget Execution Process	14
Business Management Fund Division	16
Outreach & Communications Division	17
Congressional Process	18
Key Dates Timetable	19
Federal Budget Process	20
Budget Tasks Index w/contact numbers	20

To the Reader:

The National Oceanic and Atmospheric Administration (NOAA) Office of Budget Customer Service Guide is intended to serve as an introduction to the services provided by the Office of Budget.

The Office of Budget is composed of four divisions: Formulation and Analysis (BFA), Execution and Operations (BEX), Policy, Products and Integration (BPPI), and Business Management Fund (BMF). A brief description of each division's responsibilities, an index of their activities, and points of contact for each area of responsibility are included.

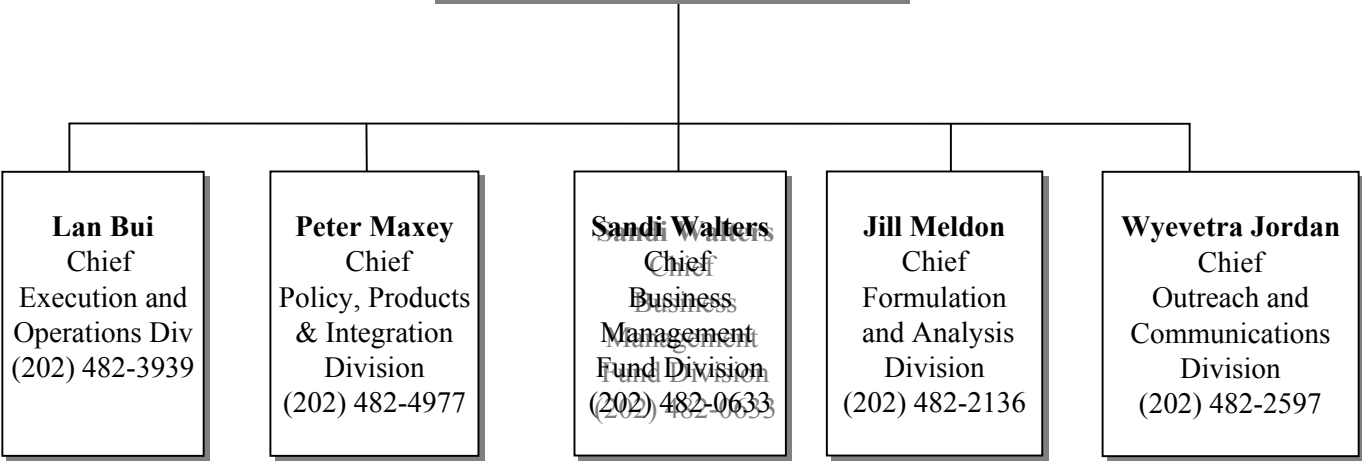
Additional information regarding NOAA's budget can be found by visiting our web site at **www.rdc.noaa.gov/~nbo/**. Any questions and/or comments on the NOAA Office of Budget and the Customer Service Guide should be directed to Office of Finance and Administration, Office of Budget, (202) 482-4600.

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NOAA BUDGET OFFICE VISION STATEMENT

The Office of Budget is an organization that puts *people* first; both within the organization and the customers it serves. In addition, the Office of Budget's structure, *processes*, and procedures support National Oceanic and Atmospheric Administration's (NOAA) mission and the fiduciary responsibilities of a financial management organization in an effective, efficient, "user-friendly" and inclusive manner. The Office of Budget will utilize *partnerships* with its people and line office counter-parts to ensure that information and knowledge is shared and utilized in the most effective manner. And finally, the Office of Budget will produce budget *products* and information resources that will increase the knowledge and understanding of NOAA's budget operations, requirements, and ultimately promote the acquisition of additional resources for new programs and mission related priorities.

NOAA OFFICE OF BUDGET MISSION STATEMENT

The Mission of the Office of Budget is to effectively and persuasively develop, present, advocate and manage the budget of the National Oceanic and Atmospheric Administration (NOAA). The Office of Budget facilitates the efficient and effective distribution and use of resources within NOAA, and ensures that statutory requirements are met. This mission is accomplished by adhering to the principles described below and performing various roles.

1. Putting People First

- Ensuring professional excellence in the performance of work by setting standards and practices through which work is accomplished, and by encouraging and facilitating the professional development of each employee to the maximum extent possible.

- Engendering fairness, honesty, and integrity in dealing with each other and the Office of Budget customers.

- Providing equal opportunity for all employees, including embracing diversity in our workforce and embracing cultural awareness.

2. “Work Smart” Efficient Processes

- Exercising innovative, forward-looking leadership.

- Encouraging initiative and risk-taking by employees and managers at all levels.

- Improving communication--between individuals, between groups, and between offices--at all levels and in all directions.

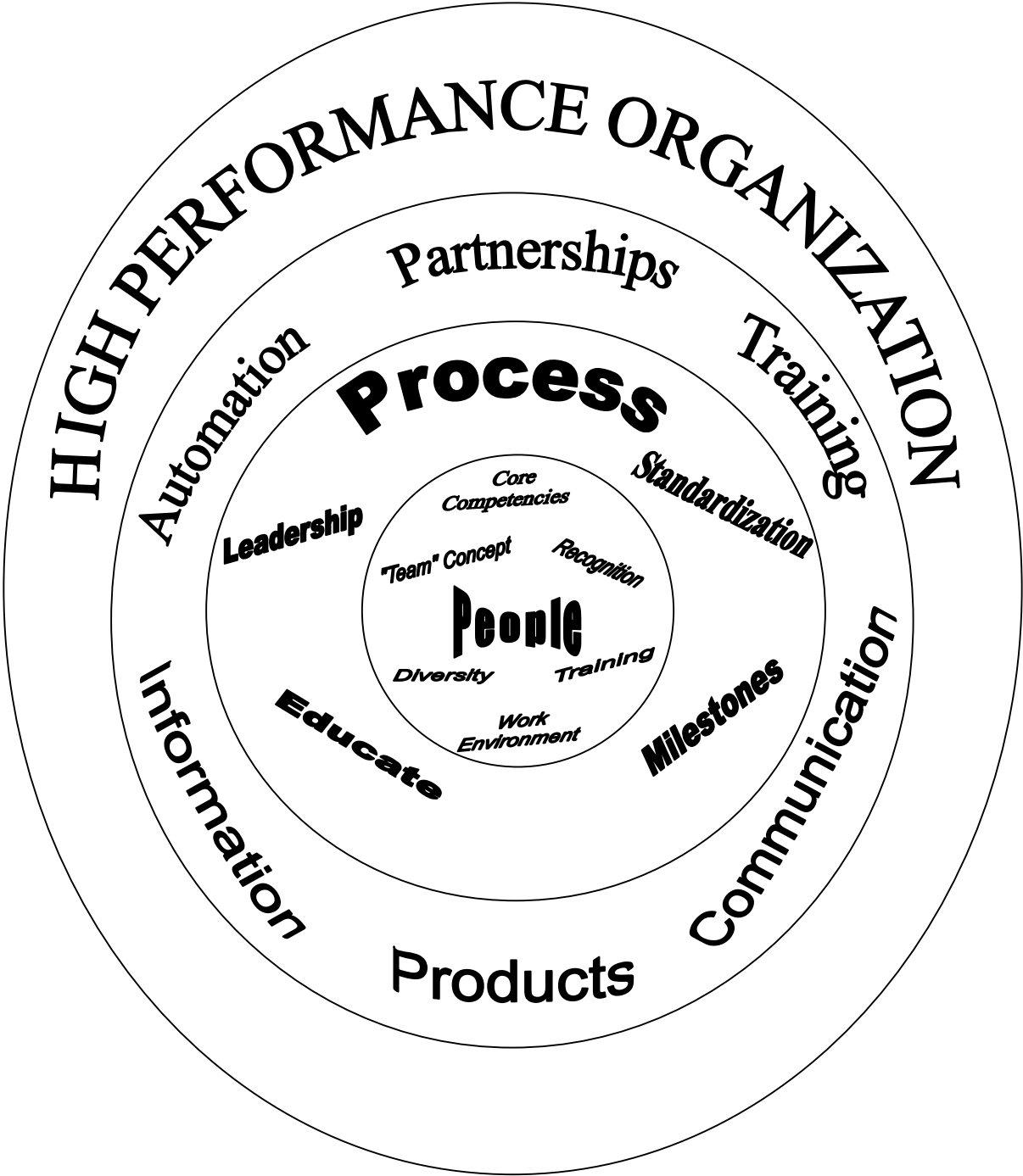
3. Partnerships

Fostering credibility and trust based upon consistent, accurate, and reliable information.

4. Customer Friendly Products

Delivering high-quality, customer-oriented services that are responsive, dependable, accountable, and simplify the conduct of the agency’s business.

NOAA OFFICE OF BUDGET PRIORITIES



NOAA OFFICE OF BUDGET FUNCTION STATEMENT

The Office of Budget is responsible for the oversight and management of NOAA's budget process. The Office assists the Under Secretary and the line, program, and staff offices in the formulation, execution and presentation of NOAA's budget.

The Office develops overall budgetary guidance, reviews proposals, and prepares supporting justification and documentation. This includes the coordination and preparation of NOAA budget submissions to the Department of Commerce, the Office of Management and Budget (OMB), and the Congress. These submissions include data on budget authority, obligations, outlays, permanent positions, and full-time equivalent (FTE) employment.

The office provides for the proper allocation and control of the execution of all budgetary resources as required under the Congressional Budget and Impoundment Act of 1974 (31 U.S.C. II) and related statutes, and as specified by the OMB. It issues funding allotments and assists the Under Secretary in providing obligational allowances to NOAA's organizational components. The Office monitors the planning, obligations, and expenditures of funds within NOAA; develops cost distribution rates and responds to direction and centrally coordinates the administration of reimbursable programs, and NOAA's Streamlining and Shutdown Plans.

The Office works closely with the NOAA Finance Office and Auditors on year-end closing in preparation of year-end Financial Statements and audit compliance and follow-up.

The Office assists the Office of Policy and Strategic Planning (OPSP) in the formulation of long-range plans for NOAA, including modifications to existing programs. It conducts program and resource analyses to support the planning, budget and resource management functions; identifies major issues affecting NOAA's programs; and directs studies to recommend solutions. The Office assists in solving special problems on matters of immediate concern to the Office of the Under Secretary.

Major Functions by Division

Budget Formulation & Analysis	Budget, Policy, Products & Integration	Budget Execution & Operation	Business Management Fund
Develops NOAA's Annual Budget resource (Secretarial, OMB and Congressional Budget) Submissions	Prepares Budget year documents, such as Budget Summary, the full-justification Budget and Appropriation Hand Book.	Executes NOAA budgetary resources	This Division will create NOAA's formal business lines, and develop the procedural framework for the Business Management Fund customer service board
Provides guidance on budget preparation, and coordinates the budget formulation process	Serves as "numbers control" staff for all budgeting tables and exhibits	Prepares apportionments, rescissions, allotments and allowance	
Provides support to Line, Program, and Staff Offices in responding to Department of Commerce, Office of Management and Budget and Congressional inquiries	Prepares and enters agency data in the Office of Management and Budget (OMB) database (MAX) System	Distributes FIMA rates	Serves as focal point for the coordination of the review and analysis of OFA's budget including the Executive Administration and Direction (EXAD) appropriations
Provides independent analysis of program and budget resource information	Maintains historical budget information	Manages NOAA's program coding structure for current and prior year obligations	Develops, presents, and defends annual requirements through the Corporate Cost process and the Infrastructure strategic goal process
Develops resource documents for reprogramming, supplemental and rescissions	Prepares press packages and coordinates briefing books and testimony on the budget before Congress	Supports external budget execution reporting requirements to Department of Commerce, Office of Management and Budget and the Treasury	Manages NOAA's Common Services Account which include payments made on behalf of NOAA to the DOC Working Capital Fund and other external entities
Develops Appropriation language	Develop allocation of adjustment to base	Reviews and processes Financial Operating Plans	
Maintains Office of Budget Web Page	Monitors Congressional appropriation requirements, prepares side-by-side analysis of the House, Senate and Conference Reports and other related reports	Provides technical guidance to comply with policy and regulations	
			Budget Outreach and Communications
			Provides legislative coordination with Appropriations Committees; OMB/DOC Briefings and NOA-wide meetings.
			Manages legislative report tracking; legislative issues tracking; and master calendar.
			Oversight of NOAA Budget WEB; OFA Newsletter; OFA Town Hall meetings; and OFA Events Planning.

Budget Formulation and Analysis Division

Major Areas of Responsibility:

Manage the process for the development of NOAA's Spring Plan (Department of Commerce Budget), Office of Management and Budget (OMB) Budget and Congressional Budget; provide independent programmatic and budgetary analyses; liaison for internal and external formulation-related issues.

The Budget Formulation and Analysis Division (BFA) is responsible for the management of NOAA's process for identifying and acquiring its annual budgetary resources. BFA provides formulation guidance to line, program, and staff offices on their budget requests and coordinates the NOAA budget formulation process, including the review and analysis of adjustments to base, appropriation language and supporting justification for new initiatives and mission related priorities. BFA serves as a liaison to the line, staff and program offices, OMB and Department of Commerce (DOC), supporting NOAA management on all formulation related activities.

BFA works continually with the Budget Policy, Products, and Integration (BPPI) Division to ensure accuracy of all budget resource products, and in preparation for Congressional budget hearings and related press and constituent briefings. The division works closely with the line, program, and staff offices to respond to Office of the Secretary, OMB, and

Congressional "ad-hoc" inquiries concerning NOAA's past, current and future budgets and program activities. It maintains the capability to provide specially tailored NOAA-wide analyses and information requested by DOC, OMB, and the Congress. BFA is responsible for the preparation of programmatic justifications and coordination with the Budget Execution and Operations Division to develop justifications for Congressional notification of proposed reprogrammings, transfers, or sequestration.

The Division works with the Office of Policy and Strategic Planning (OPSP) in the preparation of guidance for the formulation of NOAA's long-range plans and budget policies, including modifications to existing programs. BFA undertakes special projects which may cross program or organizational boundaries, and sensitive matters of immediate concern to the Under Secretary.

Budget Formulation Process Effective Resourcing

PHASE I: ANNUAL BUDGET GUIDANCE

“Bridging Process”

In the absence of a new NOAA Strategic Plan, the FY 2004 Budget Process will be a bridging process until a new plan is developed. The Assistant Administrators will develop potential themes and objectives for the FY 2004 budget process.

Develop Planning and Budget Guidance

Issue Budget Transmittal memoranda providing guidance to Line Organizations (LO) for development of the Spring Plan Budget (Department of Commerce (DOC) submission).

PHASE II: DEVELOPMENT OF PROPOSALS

Develop and Present Initiative Packages to CFO/CAO and NOAA Budget Office

LO's develop and present new initiatives to include proposed budget requirements with crosscutting initiatives.

PHASE III: EVALUATION & REVIEW

Office of Budget Assessments

BFA will perform detailed assessments and provide recommendations on proposed initiatives to DUS. BFA conducts a base review and creates a ranking of all NOAA programs.

PHASE IV: RECOMMENDATIONS & APPEALS

Line Offices Present Base and Initiatives to DUS

LOs take into account NOAA Budget Office review and presents budget to DUS.

Appeals and Decisions

DUS makes preliminary recommendations. LOs appeals to NOAA Budget/DUS.

DUS presents budget to Administrator for approval. Final decisions are prepared by NOAA Budget.

BFA transmits decisions to LO's. The Office of Budget transmits final control table.

PHASE V: DOCUMENT PRODUCTION

Office of Budget Prepares Spring Budget

LO's prepare base and increase narratives implementing management decisions and submit to BFA. BFA and the Budget Policy, Products and Integration Divisions review, coordinate and consolidate the Spring Budget plan.

NOAA Management Review

The NOAA Executive Management review the draft budget submission and provide comments.

Budget Finalization

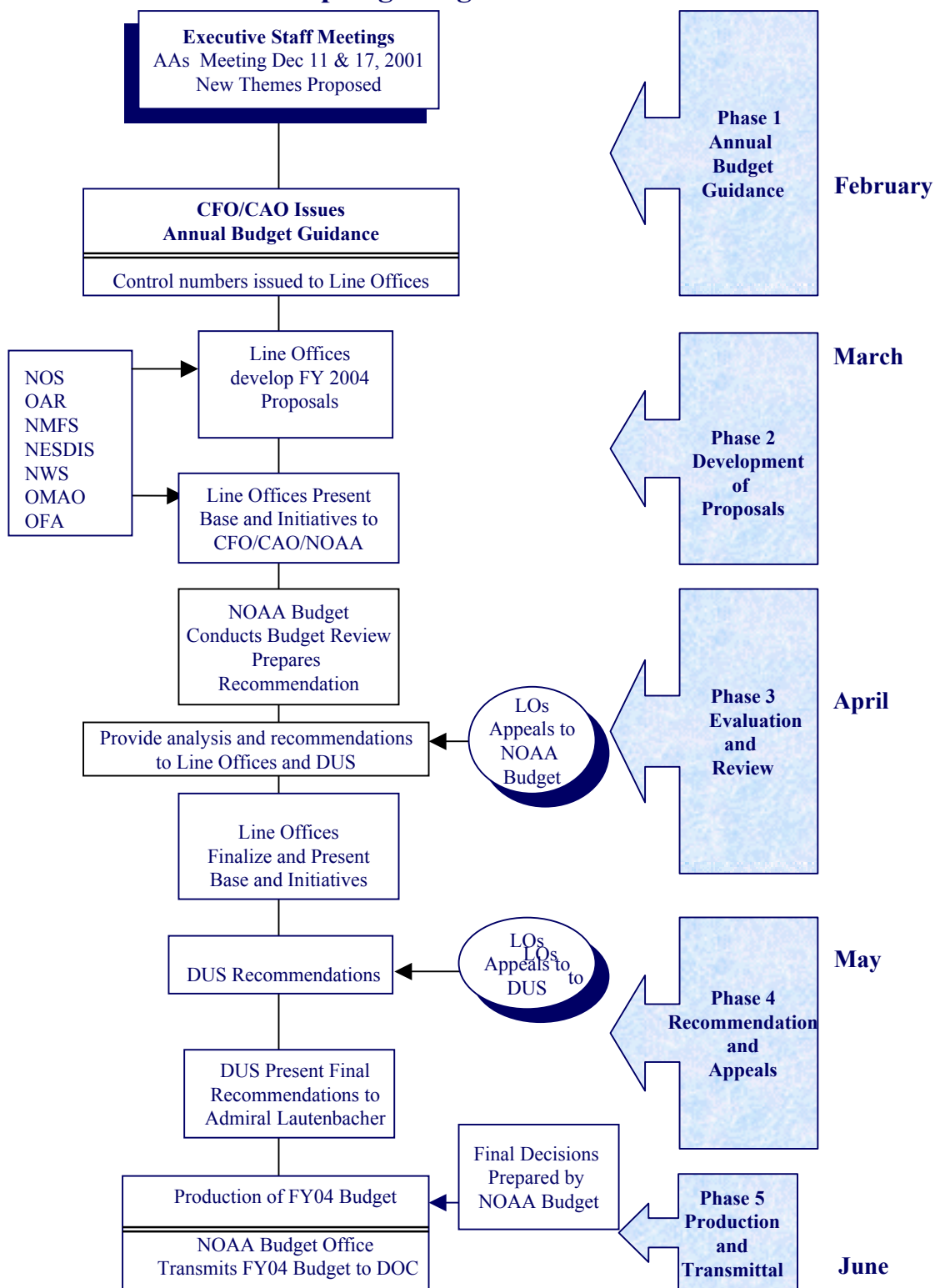
The Office of Budget Formulation and Analysis and the Budget Policy, Products and Integration Divisions update budget submission text and exhibits to incorporate review inputs and final decisions of NOAA Executive Management.

Budget Transmittal

The Office of Budget transmit the budget exhibit tables (traditional, strategic and priority matrix) and narrative justification material to DOC.

NOAA Budget Planning & Formulation Process

The Spring Budget



Budget Policy, Products and Integration Division

Major Areas of Responsibility:

Full NOAA Budget; Budget Summary (Blue Book); Budget/Position data, exhibits, control tables and database; Questions and Answers, and data queries; Budget policy analysis; Legislative tracking and required recurring reports; Special projects and support.

The Budget Policy, Products and Integration Division (BPPI) focuses its efforts on budget year documents, as well as activities that integrate budgets and products from the formulation and the execution divisions. A key function of BPPI is to serve as the “numbers control” staff for all budgetary tables including the Office of Management and Budget’s (OMB) Budget Control System (MAX), exhibits and displays, maintaining and utilizing data, both current and historical, on budget authority, obligations, outlays, permanent positions and full-time equivalents (FTE). It manages, reconciles and coordinates budget resource displays of all the Office of Budget’s products. From resources it maintains, both hard copy and electronic copy, BPPI prepares analyses and displays of budgetary trends; facilitates inquiry responses; prepares media and budget summary information; and coordinates input and the physical preparation of the full justification budget, Congressional briefing books and budget-related testimony. BPPI’s products and reports are developed from and integrated with information and material garnered from

the Formulation and Execution Divisions in the NOAA Office of Budget, NOAA Line Office budget staffs, the Office of Policy and Strategic Planning (for performance measures and long range planning), the Office of Legislative Affairs (for Congressional responses, reports, and briefings), and the NOAA Finance Office (in the preparation of the annual audit). It provides leadership and oversight of the NOAA “Blue Book” (Congressional Budget Summary) process, and also prepares the special exhibits and materials for the Department of Commerce and OMB, the detailed Budget Appendix, and OMB Galley information. This division also provides assistance in liaison with Congressional Appropriations Committee staff, including the monitoring of Congressional appropriations actions and reporting requirements, preparing side-by-side analysis of the House, Senate, and Conference budget marks, and other related material, as well as preparation for Congressional Budget Hearings. Along with the other Divisions, BPPI provides quick turnaround for special analyses and information requested by DOC, OMB, Congress, the media and the public.

Budget Execution and Operations Division

Major Areas of Responsibility:

Internal control of funds to Line Office; Apportionment, Rescissions, Allotments and Allowances; Budget Execution Reporting Requirements to OMB and the Hill; Reprogramming; and Current Year Financial Management.

The Budget Execution and Operations Division (BEX) provides guidance and oversight for execution of NOAA's budgetary resources. BEX is responsible to the Under Secretary for the internal control of all NOAA funds and to the line, program and staff offices for facilitating their financial management to achieve the most efficient, effective use of their resources. Responsibilities include the preparation of apportionments, rescissions, deferral allotments, and allowances.

The division evaluates and establishes all FIMA distribution rates, manages NOAA's detailed program coding structure that facilitates the unique accounting of current and prior year obligations that serves as a framework for systematic planning and reporting of the status of NOAA resources. NOAA's Budget Execution staff supports external budget execution reporting requirements for Department of Commerce, Office of Management and Budget (OMB), and Treasury. Works closely with line, program and staff offices to respond to Department, OMB, and Congressional inquiries concerning NOAA's staff offices and its budget execution activities. The staff manages NOAA's automated Direct Fund Financial Planning process.

Guidance and assistance is provided to line, program and staff offices in their annual financial planning and advance reimbursable budget activities. This includes issuance of initial planning guidance, reconciliation of annual targets with appropriations, providing obligations allowances and adjustments as required.

BEX directs and maintains overall control of appropriation obligation allowances, outlays and costs as they pertain to advances and reimbursements. The staff works closely with the line, program, and staff offices to identify, review, and resolve current year financial management issues such as funding shortfalls and carryover disposition. It is responsible for the identification of funding sources and providing technical guidance for the preparation of Congressional notifications for proposed reprogramming, transfers or sequestration. It provides NOAA's budgetary and human resources utilization. This office works closely with the NOAA Finance Office and auditors on year-end closing Financial Statements, and audit compliance and follow-ups. Conducts quarterly financial resource reviews.

Budget Execution Process

PHASE I: BUDGET PREPARATION

Initial Target: BEX prepares Initial Targets for the following year based on current year plan. BEX issues Allowance #1. Time critical carryover is issued on Allowance Advice #2 based on request of immediate need from the Line and Staff Offices BEX approval.

Financial Operating Plans: Line and Staff Offices develop and submit Financial Operation Plans (FOPs) to the Office of Budget based on target. BEX reviews and approves FOPs.

PHASE II: PROGRAM CHANGES AND CARRYOVER ALLOWANCE

Congressional Action: BEX reviews House, Senate and Conference Reports, and updates accountability control codes for final conference agreement.

Internal Controls: BEX enters new line items from the Conference Reports to the FIMA System, updates internal control tables and notifies Line and Staff Offices. Line and Staff Offices review Budget Structure and internal control tables. BEX issues revised Budget Structure.

PHASE II: PROGRAM CHANGES AND CARRYOVER ALLOWANCE (con't)

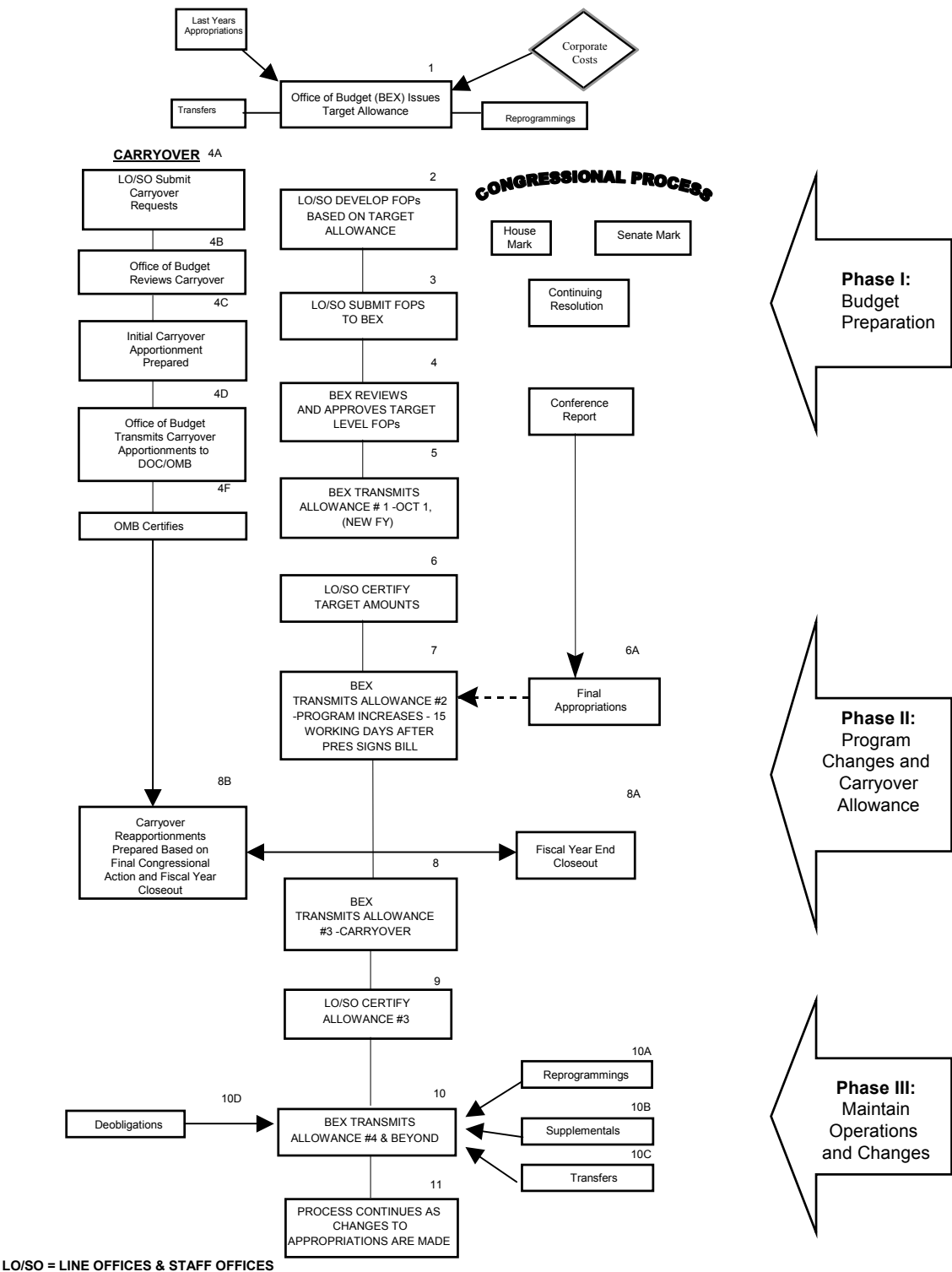
Program Changes: BEX transmits Allowance #2 to include Program Changes. Line and Staff Offices certify changes and prepare FOPs. BEX reviews and approves FOPs.

Carryover: BEX sends draft carryover amounts to Line and Staff Offices for review. BEX conducts meetings with Line and Staff Offices (as requested) to review final carryover. BEX transmits Allowance #3 to include final carryover.

PHASE III: MAINTAIN OPERATIONS AND CHANGES

Ad Hoc Activities: BEX ensures that Allowances reflect reprogrammings and other transfers, and the process continues as described above.

Budget Execution Process



Business Management Fund Division

Major Areas of Responsibility:

Responsible for providing guidance and oversight of the Office of Finance and Administration (OFA) and Executive Administration and Direction (EXAD) budgetary resources; and 2) re-engineering NOAA's administrative functions toward a more activity-based method of operations and pricing, including the establishment of a Working Capital Fund.

The Business Management Fund (BMF) Division serves as the focal point for managing and coordinating NOAA's budgetary and financial activities internal to OFA and the Administrator's offices. The Division is responsible for the development, operation and maintenance of the Table of Organization for OFA, the Office of the Under Secretary (USEC), and USEC staff offices.

The Division's formulation and execution duties include preparing and justifying the Corporate Costs Request before the NOAA Corporate Board (consisting of the Deputy Assistant Administrators and the Deputy Under Secretary); managing NOAA's agency-wide payments to the Department and other external entities; providing guidance and oversight to OFA's Financial Management Centers and the USEC executive staff offices on budgetary matters; developing allocations of resources for OFA; providing recommendations to the Deputy Chief

Financial Officer/Director of Budget on budget and financial policy and procedures related to OFA; and providing recommendations to the Executive Director to the Deputy Under Secretary on budget and financial policy and procedures related to the Offices of the Under Secretary.

BMF is also responsible for continuous re-engineering and streamlining of NOAA Budget and Financial Management Center (Budget) services; Administering contracts associated with implementation of Activity-Based Cost models of other products and managing other projects associated with process improvements.

Outreach and Communications Division

Major Areas of Responsibility:

Responsible for providing Legislative coordination with Appropriation Committees; OMB/DOC Briefings and NOAA-wide meetings; Legislative Report Tracking; Legislative Issues Tracking; Master calendar; NOAA Budget WEB; OFA Newsletter; OFA Town Hall meetings; OFA Events Planning.

The Budget Outreach and Communications Division (BOC) serves as the focal point for coordinating, facilitating, reviewing and tracking responses to requests for information. The Division is responsible for arranging, coordinating and tracking site visits and briefings; coordinating, facilitating, reviewing and tracking Congressional Reports mandated by Appropriations bills; and tracking other Appropriations issues and legislation.

The Division provides similar services to the NOAA OMB Examiners, and the DOC Budget Office, and interface frequently with the Legislative Affairs Offices of both NOAA and the Department of Commerce.

BOC directs and maintains oversight of the NOAA Budget Office Website, and the NOAA Budget Office Secure Website. Directly support the Chief Financial Officer in coordinating and managing the OFA Town Hall Meetings, the OFA Master Calendar, OFA Orientation Program, and other OFA events planning. BOC performs numerous other projects, and prepares several weekly reports, related to Outreach and Communication.

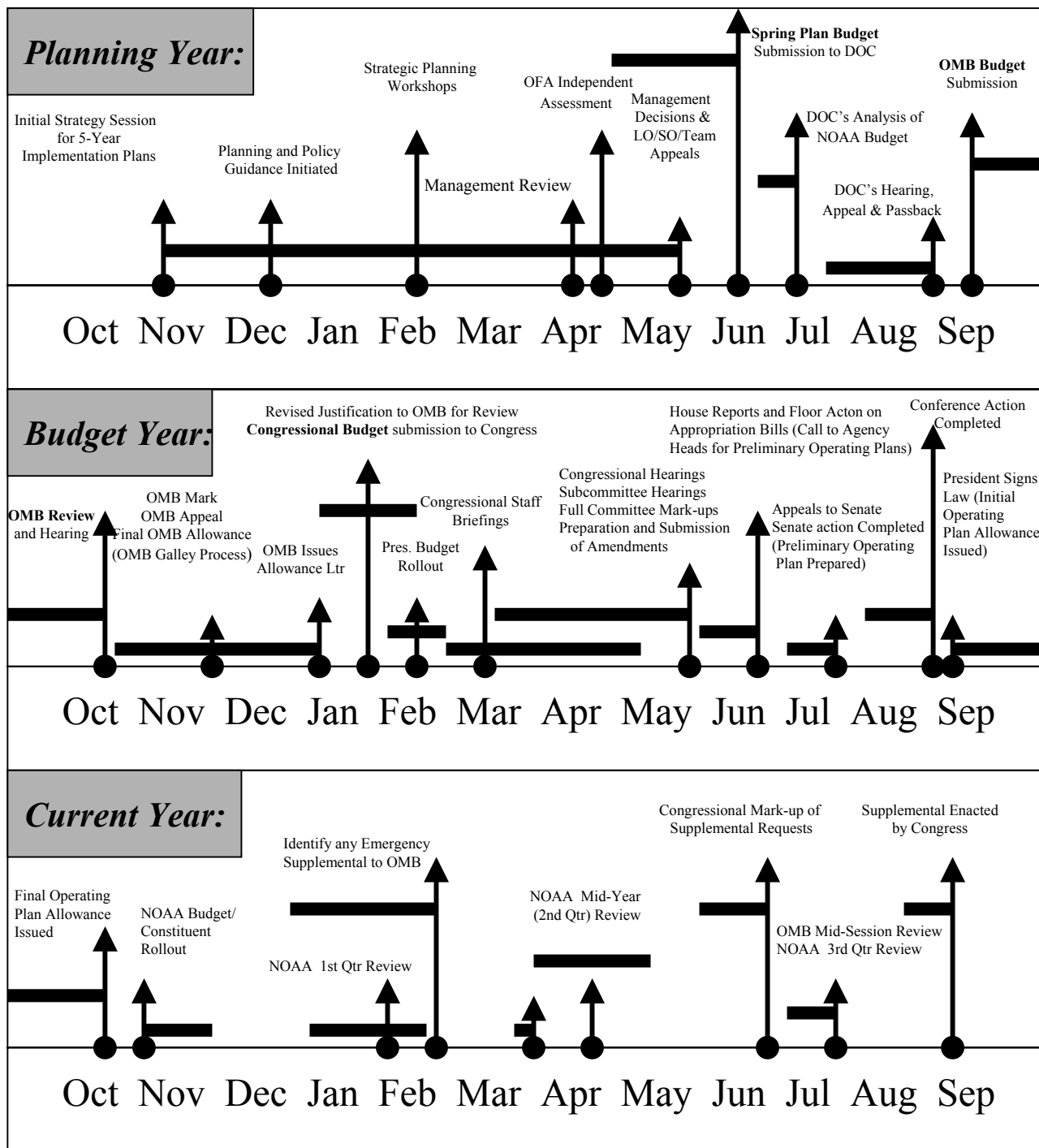
Congressional Process: Key Dates Timetable

The timetable for Congressional budget actions has been changed several times since the original Budget Act established a timetable. The current timetable is listed below.

The President's Budget submitted.	<i>First Monday in February*</i>
The Congressional committees submit "Views and Estimates" Report. All Subcommittees and Budget to Budget Committees.	<i>Six weeks after President's Budget is submitted</i>
Congress completes action on Concurrent Budget Resolution. <i>Each House adopts a concurrent resolution and differences are resolved during Conference.</i>	<i>By April 15*</i>
House/Senate Appropriations Committee completes mark up on all 13 regular Appropriation bills.	<i>House Full Committee - June Senate Full Committee - August</i>
Conference House/Senate Committee passes bill	<i>Prior to September 30</i>
Congress sends Appropriation Bill to President	<i>Prior to October 1</i>
President signs Bill/Fiscal Year begins	
If not signed (veto) and back to Conference Committee, Agencies operate under Continuing Resolution	<i>By October 1</i>

* Except in an Election/Transition year budget

Federal Budget Process



Budget Task Index

Accountability Control Codes	BEX	202-482-3880
Activity Based Costing/Management	BMF	202-482-6128
Adjustment to Base	BPPI	202-482-4600
Allowance Advice	BEX	202-482-3880
Apportionments	BEX	202-482-3880
Audit CAP's	BEX	202-482-3880
Blue Book (Cong. Budget Summary)	BPPI	202-482-4600
Budget Exhibits	BPPI/BFA	202-482-4600
Budget Office Library	BPPI	202-482-4600
Budget Quarterly Review	BEX	202-482-3880
Close-out Procedures	BEX	202-482-3880
Congressional Budget Summary	BPPI	202-482-4600
Congressional Reports Due	BOC	202-482-4600
Congressional side-by-side	BOC	202-482-4600
Control Tables	BPPI	202-482-4600
Corporate Cost	BEX/BMF	202-482-3880 or 6128
Cross-cutting Tables	BPPI	202-482-4600
Current Year Allotments	BEX	202-482-3880
EXAD Budget	BMF	202-482-6128
Full-time Equivalents	BPPI	202-482-4600
FIMA rates	BEX	202-482-3880
Financial Operation Plans	BEX	202-482-3880
Formulation Budget Activities	BFA	202-482-4600
Legislative Tracking	BOC	202-482-4600
Line Office Focal Points	BFA	202-482-4600
MAX uploads	BPPI	202-482-4600
OFA Budget	BMF	202-482-6128
Outlays	BPPI	202-482-4600
Q & A's from DOC, OMB, Congress	BOC	202-482-4600
Reimbursable Task Plans	BEX	202-482-3880
Reprogrammings	BEX	202-482-3880
State-by-State	BPPI	202-482-4600
Strategic Plan Database	BPPI	202-482-4600
Supplemental Appropriation-current year	BEX	202-482-3880
Supplemental Appropriation -future year	BFA	202-482-4600
Web page	BOC	202-482-4600
Working Capital Fund	BMF	202-482-6128